

**COMBINED DECLARATION  
AND POWER OF ATTORNEY**

**(Original, Design, National Stage of PCT, Divisional, Continuation or C-I-P Application)**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

"METHOD FOR PREPARING (1R,4S)-2-AZABICYCLO[2.2.1] HEPT-5-ENE-3-ONE DERIVATIVES"

This declaration is of the following type:

- ☐ original
- ☐ design
- ☒ national stage of PCT.
- ☐ divisional
- ☐ continuation
- ☐ continuation-in-part (C-I-P)

the specification of which: *(complete (a), (b), or (c))*

(a) ☐ is attached hereto.

(b) ☒ was filed on January 9, 2001 as Application Serial No. (to be assigned).

(c) ☒ was described and claimed in PCT International Application No. PCT/EP99/04814 filed on July 8, 1999 and was amended on *(if applicable)*.

**Acknowledgement of Review of Papers and Duty of Candor**

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of the subject matter claimed in this application in accordance with Title 37, Code of Federal Regulations § 1.56.

☐ In compliance with this duty there is attached an information disclosure statement. 37 CFR 1.98.

**Priority Claim**

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or of any PCT International Application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT International Application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application on which priority is claimed

*(complete (d) or (e))*

(d) ☐ no such applications have been filed.

(e) ☒ such applications have been filed as follows:

PRIOR FOREIGN/PCT APPLICATION(S) FILED WITHIN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION			
COUNTRY	APPLICATION NO.	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)
			PRIORITY CLAIMED UNDER 35 USC 119 <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
			<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
			<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
ALL FOREIGN APPLICATION(S), IF ANY, FILED MORE THAN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION			
	EP 98112719.4	July 9, 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
	EP 98123949.4	December 17, 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
			<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>

### Claim for Benefit of Prior U.S. Provisional Application(s)

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date

### Claim for Benefit of Earlier U.S./PCT Application(s) under 35 U.S.C. 120

*(complete this part only if this is a divisional, continuation or C-I-P application)*

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information as defined in Title 37, Code of Federal Regulations, § 1.56 which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PCT/EP99/04814	July 8, 1999	Pending
(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)

(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)
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### Power of Attorney

As a named inventor, I hereby appoint Dana M. Raymond, Reg. No. 18,540; Frederick C. Carver, Reg. No. 17,021; Francis J. Hone, Reg. No. 18,662; Joseph D. Garon, Reg. No. 20,420; Arthur S. Tenser, Reg. No. 18,839; Ronald B. Hildreth, Reg. No. 19,498; Thomas R. Nesbitt, Jr., Reg. No. 22,075; Robert Neuner, Reg. No. 24,316; Richard G. Berkley, Reg. No. 25,465; Richard S. Clark, Reg. No. 26,154; Bradley B. Geist, Reg. No. 27,551; James J. Maune, Reg. No. 26,946; John D. Murnane, Reg. No. 29,836; Henry Tang, Reg. No. 29,705; Robert C. Scheinfeld, Reg. No. 31,300; John A. Fogarty, Jr., Reg. No. 22,348; Louis S. Sorell, Reg. No. 32,439; Rochelle K. Seide Reg. No. 32,300; Gary M. Butter, Reg. No. 33,841; Marta E. Delsignore, Reg. No. 32,689; and Lisa B. Kole, Reg. No. 35,225 of the firm of BAKER BOTTS L.L.P., with offices at 30 Rockefeller Plaza, New York, New York 10112, as attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith

<b>SEND CORRESPONDENCE TO:</b> BAKER BOTTS L.L.P. 30 ROCKEFELLER PLAZA, NEW YORK, N.Y. 10112 CUSTOMER NUMBER: 21003	<b>DIRECT TELEPHONE CALLS TO:</b> BAKER BOTTS L.L.P. (212) 705-5000
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge

that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR	LAST NAME Bernegger-Egli	FIRST NAME Christine	MIDDLE NAME	
RESIDENCE & CITIZENSHIP	CITY Münster	STATE or FOREIGN COUNTRY Switzerland	COUNTRY OF CITIZENSHIP Switzerland	
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DATE 9.3.2001	SIGNATURE OF INVENTOR <i>Christine Bernegger-Egli</i>			
FULL NAME OF THIRD JOINT INVENTOR, IF ANY	LAST NAME Brux	FIRST NAME Frank	MIDDLE NAME	
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DATE 20.03.2001	SIGNATURE OF INVENTOR <i>Frank Brux</i>			
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DATE 23.03.2001	SIGNATURE OF INVENTOR <i>J.P. Roduit</i>			
FULL NAME OF FIFTH JOINT INVENTOR, IF ANY	LAST NAME Werbitzky	FIRST NAME Oleg	MIDDLE NAME	
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DATE 23.03.2001	SIGNATURE OF INVENTOR <i>Oleg Werbitzky</i>			
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DATE 23.03.2001	SIGNATURE OF INVENTOR <i>Yves Guggisberg</i>			

Check proper box(es) for any added page(s) forming a part of this declaration

- ☐ Signature for ninth and subsequent joint inventors. Number of pages added \_\_\_\_\_.
- ☐ Signature by administrator(trix), executor(trix) or legal representative for deceased or incapacitated inventor. Number of pages added \_\_\_\_\_.
- ☐ Signature for inventor who refuses to sign, or cannot be reached, by person authorized under 37 CFR 1.47. Number of pages added \_\_\_\_\_.



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**Patent and Trademark Office**  
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JULY 11, 2001

PTAS



\*101696495A\*

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01 JUL 16 PM 1:59

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RECORDATION DATE: 04/17/2001

REEL/FRAME: 011729/0881  
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BERNEGGER-EGLI, CHRISTINE

DOC DATE: 03/09/2001

ASSIGNOR:

BRUX, FRANK

DOC DATE: 03/20/2001

ASSIGNOR:

RODUIT, JEAN PAUL

DOC DATE: 03/23/2001

ASSIGNOR:

WERBITZKY, OLEG

DOC DATE: 03/23/2001

ASSIGNOR:

GUGGISBERG, YVES

DOC DATE: 03/23/2001

ASSIGNEE:

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011729/0881 PAGE 2

SERIAL NUMBER: 09743391  
PATENT NUMBER:

FILING DATE: 04/17/2001  
ISSUE DATE:

ALLYSON PURNELL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

05-01-2001

03

RECORDATION FORM COVER SHEET  
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101696495

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): Christine Bernegger-Egli  
Frank Brux  
Jean Paul Roduit

Additional name(s) of conveying party(ies) attached?  
[ X ] Yes [ ] No

3. Nature of conveyance:

[ X ] Assignment [ ] Merger  
[ ] Security Agreement [ ] Change of Name  
[ ] Other \_\_\_\_\_

Execution Date: March 9, 2001, March 20, 2001, March 23,  
2001, March 23, 2001 and March 23, 2001, respectively.

2. Name and address of receiving party(ies)

Name: Lonza AG

Address: Geschäftsleitung: 4002 Basel

City: CH-3945 Gampel/Wallis Country: Switzerland

Additional name(s) and address(es) attached?

[ ] Yes [ X ] No

4. Application number(s) or patent number(s)

If this document is being filed together with a new application, the execution date of the application is \_\_\_\_\_

A. Patent Application No.(s)

09/743391

B. Patent No.(s)

Additional numbers attached?

[ ] Yes [ ] No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Carmella L. Stephens

BAKER BOTTS L.L.P.

Address: 30 Rockefeller Plaza - 44 Fl.

City: New York State: NY Zip: 10112

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):

\$ 40

[ X ] Enclosed

[ ] Authorized to be charged to deposit account

8. Deposit account number:

02-4377

(Attach duplicate copy of this page if paying by deposit account)

04/30/2001 TDIAZ1 00000211 024377 09743391

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To the best of my knowledge and belief, the foregoing instrumentation is true and correct and any attached copy is a true copy of the original document.

Carmella L. Stephens

Name of Person Signing

Carmella L. Stephens

Signature

April 12, 2001

Date

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Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

10. Name of conveying party(ies):

Oleg Werbitzky

Yves Guggisberg

11. Application number(s) or registration number(s):

A. Patent Application No.(s)

B. Patent Registration No.(s)

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